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Indiana Department of Natural Resources
Division of Historic Preservation and Archaeology
402 West Washington Street, Room #W274
Indianapolis, IN 46204-2739
317-232-1646

HISTORIC PRESERVATION FUND

ARCHAEOLOGICAL

GRANT APPLICATION PACKET

For Federal Fiscal Year 2008

A PROGRAM OF THE NATIONAL PARK SERVICE,
U.S. DEPARTMENT OF THE INTERIOR

ADMINISTERED BY THE INDIANA DEPARTMENT OF NATURAL RESOURCES,
DIVISION OF HISTORIC PRESERVATION AND ARCHAEOLOGY

FY2008 HISTORIC PRESERVATION FUND
ARCHAEOLOGICAL GRANT APPLICATION

INTRODUCTION

The Division of Historic Preservation and Archaeology (DHPA), part of the Indiana Department of Natural Resources, is the state agency responsible for the administration of the National Historic Preservation Act of 1966. This Act authorizes the Secretary of the Interior, through the National Park Service, to provide money from the Historic Preservation Fund (HPF) to the states for the purpose of carrying out historic preservation activities. In Indiana, a large portion of these funds are allocated as matching grants to various parties who agree to undertake specific projects that will assist the State in meeting its preservation goals and objectives.

The information on the following pages describes the grant program more fully and explains the process for requesting grant funds. Grant applications for FY2008 will be accepted by the Division of Historic Preservation and Archaeology until **5:00 pm Friday, October 12, 2007.**   After evaluation by DHPA Staff, all applications (except any that propose non-eligible activities) will be presented to the Indiana Historic Preservation Review Board at its first meeting in 2007, which is tentatively scheduled for late-January. This Board will select for funding those projects that best meet the state and federal guidelines and priorities for the HPF matching grants program. Applicants will be notified of the Board's decision regarding their project proposals no later than **February 28, 2008.**   However, no work can begin until a formal grant agreement has been concluded between the applicant and the State. This process is normally completed by the end of May. All grant projects **MUST** be completed by **June 30, 2009.**

PART I: GENERAL GUIDELINES

A. Types of Projects

Federal regulations specify that only certain types of preservation projects are eligible for funding under this grants program, including Architectural and Historical projects, Archaeological projects, and Acquisition and Development projects. This application packet is designed specifically for **Archaeological** projects, which include the following:

1. Surveys and/or testing of archaeological resources in defined geographical areas or historic contexts/study units.

2. Other survey and/or testing projects that relate to the identification, evaluation, and protection of archaeological resources that are eligible for listing in the National Register.

3. The preparation of National Register nominations for archaeological sites or districts that the DHPA agrees are potentially eligible for listing in the National Register.

4. Public information programs (such as publications, workshops, or training sessions) that directly relate to or explain state or federal archaeological preservation programs.

5. Planning projects that are specifically designed to assist the State in developing its Statewide Comprehensive Historic Preservation Plan by identifying and developing historic contexts or study units. **Applicants should contact the DHPA for more information before applying for funds for a project of this nature.**

B. Eligibility and Project Requirements

1. **Applicant Eligibility:** Eligible applicants include (a) private, non-profit organizations with 501(c)(3) tax exempt status (including local historical societies and preservation organizations), (b) educational institutions

(including public and private schools, colleges, and universities), and (c) local governmental units (including city and county agencies and commissions funded by a consortium of local governments). Individuals and private, for-profit entities are not eligible to receive grant funds because federal regulations prohibit grant recipients from making a financial profit as a direct result of the grant-assisted project. Federal regulations do not allow grant funds to be awarded to active religious organizations, or to be used to assist buildings that are used primarily for religious functions. Note also that state and federal auditing and income tax regulations prevent the DHPA from making a grant award to an organization which is not incorporated, or which does not otherwise exist as a legal entity.

2. **Eligibility of Proposed Work Items:** All proposed work must conform to the applicable "Secretary of the Interior's Standards." Work that does not conform to these Standards is not eligible for reimbursement under this program. All archaeological survey and investigation work must be performed in accordance with all state and federal guidelines, standards, and laws. Eligible activities under HPF guidelines are listed in the "Archaeological Priorities" on **page 19**.

3. **Project Requirements**
   When planning your project's scope of work, timetable, and budget, keep in mind the following requirements for projects:

   Archaeological Investigations must:
   - Be conducted in accordance with the *Secretary of the Interior's Standards and Guidelines for Archaeology and Historic Preservation;*
   - Be conducted in accordance with the *Guidebook for Indiana Historic Sites and Structures Inventory -- Archaeological Sites*;
   - Be conducted in accordance with **Indiana Code 14-21-1** and **312 IAC 21** and **22** concerning state plans for archaeological investigations and accidental discoveries;
   - Submit an archaeological report of investigations to the DHPA for review, comment, and approval. A draft of the report of the investigations must be submitted at least sixty (60) days before the project end date, to accommodate a 30-day review period by the DHPA and allow a 30-day compliance period by the applicant.
   - The report must be accompanied by an archaeological site form for each site or cemetery investigated and relevant 7.5' USGS topographic map(s) showing areas investigated as well as sites investigated or discovered. Site forms must be completed on cardstock forms (available from the DHPA); electronic forms may be submitted only as a supplement to the hard copy.
   - The DHPA requires three (3) bound copies of the report, and at least one copy on CD;
   - Produce, in digital format, an article of 10-25 pages in length (single-spaced, not including references) for inclusion in the DHPA's on-line *Indiana Archaeology* journal. The article must summarize the work and results of the HPF funded activity, and be written for a target audience of the general public, as well as archaeology professionals. Articles must be submitted in Microsoft Word and *American Antiquity* style. Articles with graphics must have the images digitally incorporated into the text prior to submission, and per *American Antiquity* guidelines. Articles must be submitted with the draft report of investigations for review by the DHPA.
   - Complete a cemetery registry survey form for each cemetery, graveyard, or burial ground investigated or discovered, and submit completed forms to the DHPA (forms are available from the DHPA office or website);
   - Submit all public materials (including website information, PowerPoint presentations, brochures, etc.) to the DHPA for review and approval;
   - Meet all applicable requirements of the *HPF Grants Manual* (available on-line at: www.IN.gov/dnr/historic/forms.html).

   National Register Projects Must:
   - Be conducted in accordance with the *Secretary of the Interior's Standards and Guidelines for Planning, Identification, Evaluation, and Registration;*

- Be conducted in accordance with *National Register Bulletins,* and *How to Complete the National Register Registration Form* issued by the National Park Service explaining the National Register process and requirements;
- Be conducted in accordance with the instructions contained in the DHPA's National Register Application Packet;
- Include, as part of the final product, two sets of recent black and white photographs meeting National Register Standards, and measuring at least 5" X 7". **Note** that the National Register Photo Policy has been expanded to include acceptable standards for digital image submissions. For the updated policy, contact the DHPA staff or go to: **www.in.gov/dnr/historic/photographyguidelines.html**;

C. Project Personnel

A Project Coordinator must be designated for any grant-assisted project. In addition, the majority of projects require a Principal Investigator.

The **Project Coordinator** is the person authorized to represent the grant recipient/project sponsor in the day-to-day administration of the project.   The Project Coordinator is responsible for ensuring the progress and timely completion of all work on the project, and also for submitting progress reports and reimbursement requests to the Division of Historic Preservation and Archaeology.   The Project Coordinator is also the DHPA's contact for all correspondence relating to the project. While it is obvious that the Project Coordinator must be a capable, reliable, and conscientious person, there are no academic or professional requirements for this position.

The **Principal Investigator** is the person who conducts or supervises the professional aspects of the grant project. It is the Principal Investigator that is held responsible for the quality of the final product, and who would be expected to perform any remedial work required by the State. **Note that the State is prevented by federal regulations from paying for work that does not meet professional standards.** The Principal Investigator must meet the requirements listed in 36 CFR 61 for the appropriate discipline, and must be able to demonstrate previous experience on a similar project. (See Appendix A -- 36 CFR 61 Professional Qualifications.) In some instances it is not necessary to designate a Principal Investigator at the time of application. If the services of the Principal Investigator are included in the project budget, but the individual is not an agent or employee of the sponsoring organization, his/her services must be procured according to federal and state requirements. In this case, indicate the Principal Investigator is: "To Be Selected."

It is possible for one person to serve as both Project Coordinator and Principal Investigator, assuming that he or she has the necessary qualifications, experience, and ability. In certain instances, the proposed project may not include professional activities, thus obviating the need for a Principal Investigator (for example, some public information projects fall into this category). Grant applicants should contact the DHPA if they have any questions regarding these two positions.

Additional staff for archaeology projects, such as Field or Lab Supervisors, must meet state professional qualification requirements under 312 IAC 21-3-4. (See Appendix A – 36 CFR 61 Professional Requirements).

D. Funding Levels

All funds distributed through the HPF grants program are awarded in the form of matching grants, which require the grant recipients or sponsoring organizations to supply a certain percentage of the total project costs. Survey projects, either architectural and historical or archaeological, are eligible for grant funding in the amount of **70%** of the total project costs; the remaining 30% of the total project costs must be paid for by the grant recipient. All other types of projects are eligible for grant funding in the amount of **50%** of the total project costs; the remaining 50% of the total project costs must be paid for by the grant recipient. Questions regarding funding levels should be directed to the DHPA's Grants Staff.

It is the general policy of the Division of Historic Preservation and Archaeology, when funding projects, to provide the maximum amount of financial support possible. Note, however, that under some circumstances, a grant providing a lesser amount of funding might be offered, with a request for a corresponding reduction in the proposed

scope of work. It would then be up to the grant applicant, after consultation with the DHPA, to decide whether or not to modify the proposed scope of work, accept the grant award, and proceed with the project.

The Indiana Historic Preservation Review Board reserves the right to reject grant applications that do not include an adequate project description, or that include project budgets not commensurate with the product(s) to be created or the amount of work to be done.

The DHPA estimates that **between $500,000 and $600,000** will be available for distribution as grant awards. This funding amount will be distributed as follows: approximately **53%** will be targeted for Acquisition and Development projects, approximately **22%** will be targeted for Architectural and Historical projects, and approximately **25%** will be targeted for Archaeological projects. The minimum grant amount requested must be at least **$2,000**. The maximum grant amount awarded for an Archaeological Subcategory I project is **$50,000**; and the maximum grant amount awarded for an Archaeological Subcategory II project is **$10,000**. Requests for grant assistance must fall within these funding parameters.

E. Matching Share

Because HPF grant funds can provide only a portion of the total costs of a project (as explained in D. Funding Levels, above) and **must be matched** at the ratio stipulated in the grant agreement, the grant applicant must make arrangements to provide the Matching Share. This can be done by having the grant applicant commit its own funds or services to the project, by arranging for donations from interested third parties, or by a combination of these two methods. The Matching Share can be in the form of **cash, donated in-kind services and goods, volunteer time**, or any combination of these three categories. For more information on the various types of Matching Share, refer to Part II, Section F of this document.

F. Procurement

When Historic Preservation Funds are used to procure supplies, equipment, or personal services, the purchases must be made in compliance with state and federal standards. Any procurement that takes place prior to the official start date of the grant is **void and not reimbursable** under this grants program. Any procurement that does not comply with state and federal fair procurement and open selection standards is also **void and not reimbursable**. Procurement requirements will be covered in detail during the initial meeting between the grant recipients and the DHPA Staff. Therefore, no procurement should take place until a grant award has been made by the State, the project begin date has passed, and the DHPA Grants Staff has conducted the grant project start-up meeting.

G. Submitting Reimbursement Requests

Historic Preservation Fund grants are reimbursement grants. This means that the grant recipient may only receive money from the State after providing the DHPA Grants Staff with appropriate documentation showing that project costs have been incurred and that some portion of local matching funds have been expended.

The DHPA normally provides grant recipients with prompt grant payments when quarterly progress reports have been filed on time and when proper reimbursement requests have been submitted. However, **15%** of the total grant amount will be retained until the final product has been reviewed and approved by the appropriate DHPA Program Area Staff. Specific instructions on filing reimbursement requests are contained in the Grants Manual, which will be supplied to grant recipients during the initial meeting with DHPA Staff. Normally, the grant recipient can expect to receive payment within 30 days of submitting a reimbursement request.

No grant project may result in a net financial profit for any party. Any funds generated in the course of a grant project will be considered as "program income," and must be applied toward the total project costs. This reduction of the total project costs will result in a corresponding reduction of the grant award. Applicants who believe they may generate program income as a result of the proposed project should consult with the DHPA's Grants Staff for advice **before** completing this application.

H. The Application Process

In order to apply for an Historic Preservation Fund (HPF) grant, carefully complete this application in accordance with the instructions set forth in Part II of this document, and return it to the Division of Historic Preservation and Archaeology **no later than 5:00 pm Friday, October 12, 2007**. Please note that any application received after this deadline will not be considered for funding, and will be returned to the sender.

Completed applications and/or questions should be addressed to:

Grants Section
Division of Historic Preservation and Archaeology
402 West Washington Street, Room W274
Indianapolis, Indiana 46204-2739

Additional information or advice on the HPF program may be obtained by contacting the DHPA Grants Staff:

Malia Savarino	317-232-1648	msavarino@dnr.IN.gov
Steve Kennedy	317-232-6981	skennedy@dnr.IN.gov

*** There is a helpful list of FREE ADVICE at the end of the application packet! ***

PART II: INSTRUCTIONS FOR APPLYING FOR FUNDS

All of the various forms needed to apply for grant funds are attached. Please supply five copies (one original and four photocopies) of the complete proposal. Specific instructions for each of these items are contained in items A through J below. Assemble five application packets (one with all of the original documents and four with all photocopies), with the parts put together in the order shown below. Whenever possible, please use the forms provided or photocopies of the original forms. Completed grant applications **must** include all of the following:

 A. Proposal Cover Sheet
 B. Grant Application Checklist
 C. Project Description and Timetable
 D. Statements on Meeting State Priorities (Administrative and Categorical for Subcategory I **or** II)
 E. Project Budget
 F. Matching Share and Letters of Commitment
 G. Signed Federal Forms (4 total)
   Signed Statement of Understanding
   Part V Assurances
   Signed Certification Regarding Debarment
   Assurance of Compliance
 H. Letters of Support (20 maximum)
 I. Resume(s)
 J. Signed Landowner Permission (if applicable)

A. Proposal Cover Sheet

This form (attached) should be completed and signed by an authorized party. Specific instructions for completing this form are given below.

1. The Project Title should reflect the kind of project that the grant applicant has proposed in this application (for example, the "Hancock County Archaeological Investigation"). Allowable project types can be found in Part I, Section A. Indicate whether this project falls under Archaeology Subcategory I (survey, testing, and historic contexts) or Subcategory II (public education or National Register nominations).

2. The Project Sponsor is the **legal entity** applying for the grant (municipal government agency, educational institution, or not-for-profit organization with 501(c)(3) status). If the grant proposal is successful, it is the Project Sponsor who will be offered funding. The Project Sponsor also has the ultimate legal and financial responsibility for the project.

3. The Federal Employer's Identification Number. This is required as part of state and federal auditing and income tax regulations.

4. The U.S. Congressional District in which the project is located. This information is required by the National Park Service.

5. The name of the Project Coordinator as the individual designated by the Project Sponsor to administer the project. (See Part I, Section C, and submit the resume of this person.)

6. The name of the Principal Investigator as the professional responsible for ensuring that the final product meets all applicable state and federal standards. (See Part I, Section C.) In some cases, the P.I. will be a member of the project sponsor organization and can be named in the application. If a member of the Project Sponsor's staff is to be the Principal Investigator, please submit a current resume. If a P.I. is donating services, or is being paid off-budget from the grant, please provide the name of this person. If the Principal Investigator is not a current employee of the Project Sponsor, but will be hired later if the grant application is funded, insert "To Be Selected" in this space. Please note that any P.I. receiving payment for services as part of the grant budget

MUST be hired according to federal and state procurement standards and contracts should not be arranged prior to the grant start-up. Additional information on selecting professionals can be found in Part II, Section E (6).

7. Indicate the amount of federal funding requested, the matching share, and the total project cost on the appropriate lines. Note that these figures must be consistent with those contained on the subsequent Project Budget and Matching Share pages of the application.

8. Indicate the proposed schedule for the project. Do not anticipate starting any project **prior to May 1, 2008**; due to federal delays, clearance to begin a project is sometimes not granted until June. Note also that the ending date is to be **no later than June 30, 2009**. Please note that a COMPLETE DRAFT of the grant product (National Register nomination, archaeological report, feasibility study, brochure, etc.) will be due sixty (60) days in advance of the project end date. This allows the DHPA the required thirty (30) day review period, and provides thirty (30) days for the project personnel to address any revisions necessary for the final product.

9. Supply the information specifically requested in lines A and B. All grant projects must produce recognizable (and preferably tangible) products that are commensurate with the funds to be expended. Contact the Division of Historic Preservation and Archaeology if there is any confusion regarding this item.

B. Grant Application Checklist

After completing all parts of the grant application, refer to the Grant Application Checklist (attached) for instructions on how to assemble the parts of the application, and how many copies of each part are required to be submitted. Next, check off the items on the list, and submit the Checklist as part of the grant application.

C. Project Description and Timetable

Please supply a narrative statement that is as clear and concise as possible, but also includes sufficient detail to fully define the proposed scope of work and the timeframe in which the project will be completed.

- First, provide a one-page project summary.

Then, in approximately 10-15 pages, provide a more detailed project description that addresses the following:

- Overview and Background: a detailed description of the project, including the reasons for undertaking the project. Be sure to succinctly describe the research topic or research problem, the survey area, and a general research plan. List and describe the products that will result from the project (e.g., county or regional survey, National Register nomination, historic context study, public education program, etc.).
- Research Objectives: the project goals and methodology.
- Data collection, analysis, and curation arrangements. All archaeology projects must adhere to the standards and requirements contained in the *Secretary of the Interior's Standards and Guidelines for Identification, Evaluation, and Archaeological Documentation*, and *The Guidebook for Indiana Historic Sites and Structures Inventory—Archaeological Sites*. Please contact the DHPA Archaeology Staff to obtain a current copy or if you need further information regarding the requirements.
- Project Schedule: include both starting and ending dates, as well as a breakdown of any "phases" or major parts of the project. Projects with ending dates later than June 30, 2008 cannot be considered for funding. Again, please note that a draft of the grant product will be due sixty (60) days in advance of the project end date to allow the DHPA a thirty (30) day review period, and also allow the Project Coordinator/Principal Investigator thirty (30) days to make any necessary changes or revisions.
- Significance of the research and project: how the project would benefit the State and/or the local community.
- References Cited

D. Statements on Meeting State Priorities

Attached you will find two different lists of priorities which the State has identified to help evaluate proposed grant projects. The priorities are based on federal requirements and recommendations, the Division's own established needs and plans, and public input from constituents throughout the state. **It is critical that applicants prepare thorough responses to BOTH the Administrative Priorities and the Archaeological Priorities when completing the application. Please note that it is only necessary to respond to the Subcategory I criteria (#1-8) OR the Subcategory II criteria (#9-14), but NOT BOTH sets. The responses to these sets of priorities are what the DHPA Staff uses to evaluate and score your proposal. Without clearly detailed and thorough responses, your proposal may not score high enough to receive grant funding.**

Please contact the DHPA if there is any uncertainty regarding the specific priorities that are applicable to your project. It is unlikely that any single project will address every priority. Similarly, some projects may only partially address certain criteria. When a proposed project does not address a particular criterion, the applicant should respond with "Proposed project does not meet this criterion," or "Not Applicable."

Grant applicants should address this section of the application carefully and thoroughly, and should demonstrate to the greatest extent possible how the proposed project relates to the DHPA's criteria. Staff recommendations will be prepared based on the point scores earned through this exercise. **Grant awards will not be made to any applicant scoring fewer than 65.0 points on the Administrative Priorities. Final authority on distribution of Indiana's HPF grant funds rests with the Indiana Historic Preservation Review Board. A copy of the Division's procedures for the grant selection process is attached (Appendix C).**

E. Project Budget

Complete the attached Project Budget form. For information on allowable and unallowable costs, please refer to Appendix B of this application packet. Be sure to account for the total cost of the proposed project, not just the federal share. Please complete each line, and insert "0" when the budget contains no costs for that particular line-item. If grant funding is offered, reimbursements may only be made for costs incurred in the line-items that include these original budget figures. The budget must be broken down as follows:

1. Personnel. This category refers only to persons on the regular payroll of the sponsoring organization. Persons employed on a contractual basis for the sole purpose of working on the grant-assisted project should be included in the "Contractual" line-item in the Budget.

2. Fringe Benefits. Fringe benefits for paid personnel are an allowable cost. To facilitate the budget process, fringe benefit expenses are often expressed as a percentage of the "Personnel" cost.

3. Volunteer Personnel. This category refers to persons who donate their time towards the completion of the grant-assisted project. Volunteer time is valued at minimum wage plus one dollar ($6.15/hour) unless other arrangements are made in advance with the Division of Historic Preservation and Archaeology. Note that, in general, the State prefers to fund projects that include little or no Volunteer Personnel time, since it is often difficult for the Project Sponsor to keep volunteers working on a set schedule.

4. Travel. Travel expenses may not exceed the Indiana State Auditor's rate of $.40 per mile. If the project involves travel outside the State of Indiana, please note this in the budget and provide a justification in the Project Description.

5. Supplies. Only those items necessary for the completion of the project may be purchased under this grant. Note that any single item costing more than $250 is considered to be **equipment**, and not a supply item. Historic preservation grant funds cannot be used to purchase equipment without advance written permission from the Division of Historic Preservation and Archaeology.

6. Contractual. This category refers to the cost of professionals engaged to work on the project on a contractual basis. **Note that federal regulations require an open selection process in the hiring of all consultants and**

contractors connected with a federally-funded project. The grant recipient must either advertise the position or distribute a request for proposals to a minimum of five (5) qualified individuals and/or firms. After the open selection process, the Division of Historic Preservation and Archaeology must approve of the selected consultant or contractor before they may be hired by the grant recipient. No person employed as a consultant (or volunteering their professional services) may be paid (or valued at) more than **$60.00 per hour**. When hiring consultants or contractors for a grant project, the subgrantee must also provide evidence that:

❖ The fee is appropriate considering the qualifications of the consultant/contractor, the fees which the consultant/contractor ordinarily charges, and the nature of the services to be provided; and,

❖ That no consultant/contractor with equal experience and qualifications is available for a lesser amount.

The Division of Historic Preservation and Archaeology reserves the right to reject consultants and contractors selected by grant recipients to work on grant projects. Consultants who have failed to perform adequately on past preservation projects will not be approved (whether the Division of Historic Preservation and Archaeology either funded the project or merely reviewed the project in the course of administering state and federal preservation programs in Indiana). **The grant applicant is warned not to make any commitments to any parties prematurely, as this could make the applicant ineligible for grant funding.** Additional information on contracting with consultants may be found in the DHPA Grants Manual, which will be supplied to grant recipients with their award letter.

7. Other. Costs that do not fall into any of the above categories should be entered on this line. Examples of items often accounted for here include printing and publishing expenses. Please indicate the nature of any expenses listed in this category.

Note: Only direct project costs are allowable -- indirect costs are NOT allowable expenses under this program. The DHPA Staff will automatically eliminate indirect costs from project budgets whenever they appear. This may severely alter a proposed project's budget, and may jeopardize its ability to be properly executed should grant funding be awarded. The grant recipient must also keep accurate records of all expenditures. These records must be able to satisfy the requirements of a federal audit.

F. Matching Share

The matching share is the amount of funding that the Project Sponsor is responsible for having "up-front," equal to 50% of the total project cost (or 30% for survey projects). Please indicate the source of the matching share. If elements of the matching share are being provided by entities other than the sponsoring organization, attach copies of letters from those entities showing a firm and binding commitment to provide the promised donation. The "Certification of Matching Share" must be signed by the person legally authorized to commit the sponsoring organization and its funds.

There are three categories of Matching Share:

1. Cash. When grant recipients use their own funds to purchase goods or services specifically for the grant project (i.e., goods or services that recipients would not otherwise be purchasing as part of their own on-going programs), or when a third party donates cash to the grant recipient for the same purpose, it is considered to be a cash donation to the grant project. This would include situations where grant recipients are using their own personnel or funds to perform some or all of the grant work, by drawing supplies from their own supply room, or to hire a temporary employee or a consultant solely and specifically to work on the grant project; where they use their own funds to purchase supplies for use on the project that are not ordinarily stocked in their own supply room; or where they receive cash from a third party to help them do any of the preceding activities.

2. In-Kind Services and Goods. When a third party provides professional services or supplies to assist the project, it is considered to be an in-kind donation to the grant project. **See** Volunteer Services to differentiate In-Kind Professional Services from general volunteers.

3. Volunteer Services. When the grant recipient arranges to have individuals perform work on the project without any remuneration, it is considered to be a volunteer services donation to the grant project. Establishing the

value of volunteer services can be difficult. If the volunteer is normally a paid professional in a given field of endeavor, and is providing free services in that same field, then it is usually possible to value the volunteer's time using their regular hourly rate of pay. In that case, the services are considered an Professional In-Kind donation and should be listed under "In-Kind." However, such an arrangement must be approved in advance by the Division of Historic Preservation and Archaeology. Ordinarily however, volunteer services are valued at minimum wage plus one dollar ($6.15/hour). Accurate time sheets must be kept to document the amount of volunteer services performed.

Note that the grant applicant may use any combination of these three forms of match. Ordinarily, however, some amount of cash will be required to initiate the project, since grant funds are paid out on a reimbursement basis.

Other Grant Funds Used As Match to the HPF Grant: In some cases, it may be possible to use other grant funds as match against the HPF grant funds. However, such grant funds MUST NOT be funds from a federal source or pass-through funds that are federal in origin. If non-federal grant funds are to be used as match, be cautioned that the matching funds should be immediately available for the grant applicant to use. If the matching funds are from a reimbursement grant program (like the HPF), the grant applicant MUST have some amount of cash documented in the match in order to leverage both sources of federal and non-federal grant funds. If there are questions about the eligibility of matching funds, please contact the DHPA Grants Staff.

Multiple Grants Used on the Same Project: Most grant programs, whether public or private, will require some amount of local match. Be advised that in most cases, it is not allowable to use the same local funds as match against two separate grants, in effect, counting the same dollars twice. Ordinarily, each grant must have its own matching funds that are dedicated solely to that grant. If there are questions about using other grants within a project, please contact the DHPA Grants Staff.

G. Signed Federal Forms (4 total)

The following forms must be signed by the person who is legally authorized to commit the applicant organization: (a) Statement of Understanding, (b) Part V -- Assurances, (c) Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion, and (d) Assurance of Compliance. Review these statements carefully before signing them, and contact the DHPA if any questions arise. Executive Order 12549 (as given in 43 CFR Part 12, Section 12.510) states that entities debarred or suspended from participation in transactions with any federal department or agency are likewise debarred from transactions with other federal departments or agencies. Because federal historic preservation grant funds are passed on to grant recipients through the state, grant applicants must sign and return the Certification Regarding Debarment, to insure that they do not involve parties who are debarred in this proposed project. To determine whether an organization or entity has been debarred or suspended, contact the DHPA, or the General Services Administration at (202) 501-4873. **A grant application cannot be considered for funding unless ALL of these documents have been executed and submitted.**

H. Letters of Support

The DHPA strongly encourages grant applicants to supply letters of support from local elected officials, historical societies, community groups, business people, or other interested parties in order to demonstrate broad-based popular support for the proposed project. Letters of support must be drafted and dated so as to demonstrate that they concern a current and specific grant proposal. Ordinarily, copies of old support letters that were written for other purposes or for previous grant applications will not be counted by the DHPA. Note that the total number of current support letters accompanying the proposal earns points in the grant evaluation process. A maximum number of 20 can be counted for evaluation points.

I. Resumes

Please submit one (1) copy of the resume of the person who will act as Project Coordinator. If the grant-assisted project will include a Principal Investigator who is already a member of the Project Sponsor's staff, please include one (1) copy of this person's current resume with the project application. If no Principal Investigator will be used, or if a consultant will be hired later to serve as the Principal Investigator, it is not necessary to submit a resume for

this position. If additional project staff, such as field and lab supervisors, will be participating in the project, copies of their resumes should also be submitted to verify they meet or exceed the State Professional Qualifications requirements (see Appendix A).

J.   Signed Landowner Permission (if applicable)

Archaeological projects that involve field reconnaissance survey, surface collecting, or limited testing may require the written consent of the landowner. A sample landowner permission form is included in this application packet. When applicable, submit with the grant proposal signed permission forms from all landowners on whose property surveys or investigations will be conducted.

Submitting the Application

Assemble the application in the order of the checklist and stapled in the top left corner or secured with a binder clip. Please do not submit applications in folders, plastic report covers, 3-ring binders, or spiral-bound.

Once the application is submitted to the DHPA, the Grants Staff will log-in the application and will verify that all of the required component parts are included. If any of the required parts of the grant application packet are missing, incomplete, or insufficient, the DHPA Staff will notify the applicant immediately. The applicant will then have approximately **seven (7) days** to submit any missing or incomplete parts. Any applications that remain incomplete at the time of Staff Review will have their scores reduced accordingly, or may be rejected altogether.

HISTORIC PRESERVATION FUND
ARCHAEOLOGICAL PROJECT PROPOSAL

Application for Federal Historic Preservation Funds
Federal Fiscal Year FY2008

Administered by the Indiana Department of Natural Resources, Division of Historic Preservation and Archaeology: 402 W. Washington St., Room W274, Indianapolis, Indiana 46204-2739. Phone (317) 232-1646, FAX (317) 232-0693.

1. Project Title: _____

    _____

2. Project Sponsor: _____

    Address: _____

    Daytime Phone: _____ FAX: _____ E-mail: _____

3. Federal Employer's Identification # :   _____

4. U.S. Congressional District # :   _____

5. Project Coordinator's Name: _____

    Address: _____

    Daytime Phone: _____ FAX: _____ E-mail: _____

6. Principal Investigator's Name: _____

    Address: _____

    Daytime Phone: _____ FAX: _____ E-mail: _____

7. Project Budget Breakdown:

    a.   Total Project Cost: $ _____

    b.   Amount of Federal Funding Requested: $ _____

    c.   Amount of Non-Federal Match: $ _____

8. Proposed Project Schedule:

    Beginning Date (**must** be later than 4/30/08):   _____

    Ending Date (**cannot** be later than 6/30/09):   _____

9. Supply the information requested below regarding the products to be created by this project.

    a. For Archaeological Survey Projects:

        Has formal written landowner permission been secured?   [ ] Yes   [ ] No
        If yes, please include copies of written permission letters or permission forms in this proposal. If no, be advised that the DHPA reserves the right to reject grant proposals not accompanied by landowner permission.

        Estimated number of square miles in the survey area: _____

        Estimated number of hectares surveyed at the reconnaissance level:
        _____
            "Reconnaissance survey" activities include: visual surface survey, auguring, coring, and shovel probing to discover site evidence at or near the ground surface (1 hectare = 2.5 acres = .004 square miles).

        Estimated number of hectares surveyed at the intensive level: _____
        "Intensive survey" activities include: controlled surface or shallow subsurface investigations on known sites or deeper subsurface investigations in areas where deeply buried sites may occur. This includes methods such as: grid collection or sampling; detailed mapping; piece-plotting; systematic probing, coring, or auguring; use of remote sensing techniques; and deeper subsurface sampling (including use of heavy machinery) to discover buried sites.

        Estimated number of hectares in the investigation/excavation area: _____
        This includes test excavations and mitigation projects, systematic excavation by hand of portions or all of a site, and machine excavation techniques. (Note: for projects that include both survey and testing, this number should be included in the number of "hectares surveyed at the intensive level" above.)

        Estimated **total number** of sites to be documented on state survey forms: _____

        Estimated number of these sites that will be **newly added** to the state inventory: _____

    b. For National Register Nomination Projects:

        Estimated number of properties or sites to be listed in the National Register: _____
        Count each contributing building or site within a district as one. Please include a sketch map showing the proposed district boundaries as part of the Project Description.

This application prepared and submitted by:

        Name and Title: _____

        Mailing Address: _____

        Daytime Phone: _____   FAX: _____   E-mail: _____

        Signature: _____   Date: _____

GRANT APPLICATION CHECKLIST

Please submit this completed checklist with the grant application. For proper staff consideration, the grant application **MUST** include the following parts, forms, and documentation:

_____ Proposal Cover Sheet

_____ Grant Application Checklist

_____ Project Description and Timetable

_____ Statements on Meeting State Priorities:
   ► Administrative Priorities
   ► Archaeological (Subcategory I or Subcategory II) Priorities

_____ Project Budget:
   ► Project Budget Form
   ► Project Budget Breakdown

_____ Matching Share
   ► Signed Matching Share Form
   ► Signed Letters of Commitment (from ANY outside sources of funds, in-kind services, labor)
   ► Proof of Matching Share (bank accounts, municipal budgets, university research budgets, etc.)

_____ Signed Federal Forms (4 total):
   ► Statement of Understanding
   ► Part V -- Assurances
   ► Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion
   ► Assurance of Compliance

_____ Letters of Support (20 maximum)

_____ Resumes of Key Project Personnel
   ► Project Coordinator
   ► Principal Investigator
   ► Other Project Personnel (field supervisor, lab supervisor, etc.)

_____ Signed Landowner Permission Form

Instructions for assembling the grant application:

A.   **Assemble these documents** following the order given on the checklist. Make four (4) photocopies of the proposal packet. Applicants are strongly encouraged to make an additional copy of all documents to retain for their records.

B.   **Combine the original documents** into one application packet that is assembled following the order of the checklist above. This one application packet should contain each of the items listed on the checklist and should be clearly identified as the "Original" application.

C.   **Combine the copies** into four additional application packets that are assembled following the order of the checklist above.

D.   **Secure the packets** with a staple or a binder clip in the top-left corner. Please do not submit applications in folders, plastic report covers, 3-ring binders, or spiral-bound.

E.   **Submit the five (5) sets** of the grant application (one original and four copies) to the DHPA prior to **5:00 p.m. on Friday, October 12, 2007**. Applications MUST be received in the DHPA office prior to this deadline. This is not a postmark deadline -- late applications will not be accepted. Applicants are encouraged to submit their applications early.

The DHPA will log-in each application, and will notify the applicant if any of the required parts of the grant application are missing, incomplete, or insufficient. The applicant will then have approximately **seven (7) days** to submit any missing or incomplete parts. Applications that remain incomplete at the time of Staff Review will have their scores reduced accordingly, or may be rejected altogether.

FY2008 ADMINISTRATIVE PRIORITIES

Instructions: Provide complete but concise answers for each of the priority statements below. Please be as specific as possible in your answers, and explain exactly how the proposed project will meet the priority issues. Most projects will adequately address several priorities, while only partially addressing others, and will be scored accordingly. No project will address every priority statement. When a proposed project does not address a specific priority, mark "NA" as the response.

Max.
Score: Priority will be given to:

16 pts   1. Projects that have clear and measurable goals and will result in the creation of valuable products for the State. *Note that the scope of work must be realistic and commensurate with the amount of grant funding requested. Carefully describe the project methodology—how is the project going to be accomplished and what is the project going to produce? List the products or work items individually and specifically and include quantities if applicable (for example: Walking Tour Brochure, 500 copies). Please do not simply repeat the project description.*

16 pts   2. Projects whose sponsors have an individual capable of grant administration to act as Project Coordinator. *Provide the name of this person, list their qualifications and grant-administration experience (if any), and submit their resume with the project proposal. Note that the past performance of Project Coordinators on DHPA-funded grant projects is documented and will be considered.*

16 pts   3. Projects whose sponsors have an individual capable to act as Principal Investigator. *In some cases, the P.I. will be a member of the project sponsor organization and can be named in the application. In other instances, a P.I. will not have been identified at the time of application, but will be hired in the course of the grant. In this case, "To Be Determined" is a sufficient response and applicants will receive half credit for this criterion. Please note that any P.I. receiving payment for services as part of the grant budget MUST be hired according to federal and state procurement standards and contracts should NOT be arranged prior to the grant start-up. If a P.I. is donating services, or is being paid off-budget from the grant, please provide the name of this person, list their qualifications (they must meet applicable 36 CFR 61 qualifications) and any previous experience on grant projects, and submit their resume with the project proposal. Note that the past performance of Principal Investigators on DHPA-funded grant projects is documented and will be considered.*

16 pts   4. Projects that have realistic timetables. *Include a detailed timetable that shows the approximate amount of time (days, weeks, or months) that will be devoted to each of the various phases, tasks, or components of the project. Providing only the begin and end dates for the project does NOT constitute an acceptable timetable.*

16 pts   5. Projects that have realistic and reasonable budgets. *Include a detailed budget breakdown, indicate exactly how the various budget figures (line items) were computed, and include copies of any estimates received. Provide a justification for any items that are unusually expensive or inexpensive (such as discounted or donated goods or services). Upon review of the proposal, the DHPA reserves the right to adjust the scope of work or the grant request in cases where the project budget is out of line with the products to be created.*

12 pts   6. Projects whose sponsors have not received funding through the DHPA's grants program within the last three fiscal years. *Indicate whether or not the project sponsor has ever received funding in the past from the DHPA, and list the years in which any grant assistance was received. Note that past performance of sponsoring organizations on DHPA-funded grant projects is documented and will be considered.*

12 pts   7. Projects that will be undertaken by a governmental agency that has been designated by the National Park Service as a Certified Local Government (CLG) for the purpose of carrying out historic preservation activities. *Currently there are seventeen CLGs in Indiana: Bloomington, Crown Point, Elkhart, Evansville, Fort Wayne, Huntington, Lafayette, LaPorte, Logansport, Mishawaka, Monroe County, Muncie, Nappanee, New Albany, Richmond, South Bend, and St. Joseph County. Indicate whether or not the project sponsor is a Certified Local Government. Projects that are "co-sponsored" by a CLG and another entity will only receive 6 points.*

10 pts   8. Projects whose sponsors can show evidence of broad-based community support by submitting letters endorsing the proposed project. *These letters of support must be original, project-specific, and current, and should not be from any person or organization directly associated with the applicant. Support letters should be sought from historical societies, neighborhood organizations, elected officials, local businesses, and/or any other groups or individuals that might have an interest in the project. Submit these letters along with the project application, or have the authors forward them directly to the DHPA no later than the grant application deadline. The number of points awarded for this item depends on the number and variety of support letters submitted. Note that form letters and signed petitions are NOT counted. Applicants should limit their support letters to no more than 20.*

8 pts   9. Projects whose sponsors have 100% of the matching share on-hand and documented. *In addition to the signed Matching Share Form, provide copies of bank statements, university research program budgets, local government departmental budgets, or other documentation to demonstrate that all of the matching share funds are available. Applicants that claim to have 100% of the matching share but do not document it will NOT receive full credit. Applicants that can document only 75% to 99% of the matching share will NOT receive full credit. Applicants that have less than 75% of the required matching share, documented or not, will not receive any points.*

8 pts   10. Projects whose sponsors will use a matching share consisting of any combination of cash and in-kind services, with volunteer services not to exceed 10% of the total amount of the matching share. *Describe the match to be used and provide a breakdown if two or more match types are to be included. Maximum points will be given for a match consisting totally of cash or in-kind contributions, or a combination match that includes no more than 10% volunteer services. Project matching shares that include 11% to 25% volunteer services will receive only partial credit. Any pledges of volunteer labor or in-kind donations of goods or services MUST be documented in writing by the donors and be included with the Matching Share Form.*

6 pts   11. Projects whose sponsors are minority or disadvantaged organizations. *Explain how the project sponsor (the applicant organization) qualifies as a minority or disadvantaged organization or directly serves a minority or disadvantaged group (ethnic background, language, culture, religion, socio-economic conditions, gender).*

6 pts   12. Projects whose sponsors have submitted a complete application. *The application must contain all of the completed forms and required information, and must be received by the DHPA prior to the published grant deadline. Applicants are strongly encouraged to submit their applications early so that the DHPA Staff can verify that they are complete. Applications missing any parts after the application deadline will not receive these points, and may receive reduced scores for other priorities.*

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142 Points Possible

Note: applications that score less than 65.0 points on the Administrative Priorities will NOT be recommended to the State Historic Preservation Review Board for funding.

FY2008 ARCHAEOLOGY PRIORITIES

The Archaeology Category has been divided into two subcategories. Proposals submitted for grant consideration must fall into either one (but not both) of these subcategories. Survey, testing, and historic context projects will receive the majority of the total funding available for archaeology. These proposals should address questions #1 through #9 in Subcategory I. Projects specifically devoted to promoting public awareness and education or the preparation of nominations to the National Register of Historic Places for archaeological sites will receive up to $30,000 of the total funding available for archaeology. These proposals should address questions #10 through #16 in Subcategory II. Proposals submitted under Subcategory I will not compete against proposals submitted under Subcategory II, as the total funding available for the Archaeological Category has been divided into the two set-aside amounts.

Applicants should note that while it is permissible to submit grant applications in both Subcategory I and Subcategory II, it is unlikely that both proposals would be funded. Therefore, if submitting one grant application in each subcategory, the proposed projects must be able to stand independently of each other in case one is funded and the other is not.

Instructions: Provide complete but concise answers for each of the priority statements below. Please be as specific as possible in your answers, and explain exactly how the proposed project will meet the priority issues. Most projects will adequately address one or more priorities, while only partially addressing others, and will be scored accordingly. No project will address every priority statement. When a proposed project does not address a specific priority, mark "NA" as the response.

FEDERAL REQUIREMENTS FOR ARCHAEOLOGY PROJECTS:

Eligible Activities:
- Reconnaissance Survey (Phase I-a: "archival research and a field visit to determine the identity and location of resources present in an area. Such surveys should be designed so that a determination can be made from the results as to when it is worthwhile to obtain the additional level of documentation (through an Intensive Level Survey) necessary for a National Register nomination").
- Intensive Survey (Phase I-b and Phase I-c: "the systematic, detailed field (and archival) inspection of an area designed to identify fully architectural, archaeological, and historic properties; and calculated to produce a level of documentation sufficient, without any further data, to evaluate National Register eligibility").
- Resurvey Activities ONLY to modify documented boundaries, identify resources not included in the property's previous eligibility determination, establish a property's relationship with other resources as part of historic context development, or upgrade existing inventory data.
- Limited Testing (Phase II) ONLY "to the extent needed to collect sufficient information to identify the resource and to assess National Register eligibility."
  NOTE: Research and Excavation beyond limited testing is eligible ONLY when it:
    a) directly addresses the Secretary of the Interior's Standards for Identification,
    b) directly contributes to increasing an understanding of a National Register property or its evaluation/documentation,
    c) directly contributes to the preservation of a National Register site.

Ineligible Activities:
- Any archaeological activities that do not meet the eligibility criteria described above;
- Curation of archaeological collections beyond the project end date;
- Exhibition of archaeological collections beyond the project end date;
- Mitigation activities (Phase III).

ARCHAEOLOGY SUBCATEGORY I: Survey, Testing, and Historic Contexts
(Max. funding request $50,000 per proposal)

Max.
Score: Priority will be given to:

24 pts   1.   Projects that will involve reconnaissance and/or intensive survey (Phase I) of areas that will be impacted by imminent, specific, near-future development, redevelopment, or construction projects, or projects that will survey areas that have already been damaged by development, construction, erosion, flooding, or other forces. *Describe the specific development or construction projects and activities that are planned, or the types of damage that have already occurred, and explain the predicted or actual affect on the area and its resources.*

20 pts   2.   Projects that will reconnaissance and/or intensive survey (Phase I) areas with data deficiencies specifically targeted by the State (refer to the "Archaeological Goals and Objectives, Part I"). *Describe the area that will be surveyed, the data deficiencies, and the cultural manifestation(s) that will be investigated. Note: Survey areas located totally within any of the regions identified in "Part I: Topical / Geographical Target Areas" will receive up to 20 points; survey areas located partially within any of these high priority regions will receive a maximum of 10 points.*

20 pts   3.   Projects that will include historic contexts (study units) or activities that include reconnaissance and/or intensive survey (Phase I) (refer to the "Archaeological Goals and Objectives, Part II"). *Describe the project and how it will provide one or more of the listed historic contexts. Note: Historic context topics covered by "Part II-1: Higher Priority Topics" will receive up to 20 points, while topics only partially pertaining to those listed in Part II-1 will receive fewer than 20 points. Historic context topics covered by "Part II-2: Middle Priority Topics" will receive a maximum of 14 points, while topics only partially pertaining to those listed in Part II-2 will receive fewer than 14 points. Historic context topics covered by "Part II-3: Lower Priority Topics" will receive a maximum of 8 points, while topics only partially pertaining to those listed in Part II-3 will receive fewer than 8 points. An historic context study topic that overlaps any of these three areas may not result in a score higher than 20 points.*

20 pts   4.   Projects that will record resources and/or data that are threatened and potentially eligible for, or already listed in, the National Register of Historic Places. *Describe the threats to the resources, and how the resources and/or data will be recorded. State whether the resources are listed in the National Register, or describe how they may be eligible for the National Register.*

12 pts   5.   Projects whose primary purpose is the limited testing (Phase II) and National Register nomination of one of the DHPA-identified "Special Topics." *Note that written landowner permission MUST be obtained and submitted as part of the grant proposal. A curatorial agreement MUST also be submitted as part of the grant proposal. Without guaranteed landowner permission and a curatorial agreement, the application will not be considered complete and the DHPA may not consider the proposal. Please be advised that if landowners request alternate artifact curation, the DHPA must be notified of the agreement and may require additional analyses during the grant project in coordination with the DHPA. Survey activity at a Special Topics Site is only eligible for 50/50 grant reimbursement. If the Special Topics Site is not currently listed in the National Register, the project MUST include nomination of the site.*

12 pts   6.   Projects that include a component to promote public awareness and knowledge of archaeology in Indiana through the creation or implementation of specific public education components. *These may include: public education materials such as pamphlets and brochures, videos and slide shows to be deposited at public institutions for public viewing and use, modules and materials for use by educators, a scheduled series of public presentations, projects specifically geared toward work with avocational groups and volunteers, and conferences and workshops. Describe the education component in detail, explain how it will promote public awareness and knowledge of*

archaeology in Indiana, and identify the target audience(s). Public education components that will coincide with Indiana Archaeology Month (September) and will be registered with the DHPA's Archaeology Outreach Coordinator will receive up to 12 points. Public education components that will not coincide with Indiana Archaeology Month will receive a maximum of 6 points.

8 pts   7.   Projects that will study minority-related resources of the historic period (1816 to **1958**). *Describe the historic minority- or disadvantaged-related resources that will be included in the project and justify why they were chosen for inclusion.*

20 pts   8.   Projects that will make an original or unique problem-oriented contribution to the body of archaeological knowledge of Indiana. *Describe the problem(s), hypotheses, methodology, and/or theoretical orientation of the project, and explain how the project will contribute to archaeological knowledge in Indiana.*

20 pts   9.   Projects that will assist the DHPA in carrying out its responsibilities dealing with environmental review and compliance issues and other mandated duties. Examples of projects that meet this priority include large-scale surveys and, to a lesser extent, limited testing of Special Topics Sites. *This priority is for the DHPA to evaluate and does not require an answer.*

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156 Points Possible for Subcategory I

ARCHAEOLOGY SUBCATEGORY II: Public Education and National Register Nominations
(Max. funding request $10,000 per proposal)

Max.
Score: Priority will be given to:

20 pts   10.   Projects whose primary purpose is to nominate an Indiana archaeological site (or sites) to the National Register of Historic Places. *Describe in detail the archaeological site (or sites) to be nominated. Please note that formal written landowner permission MUST accompany the proposal – any proposals submitted without landowner permission will not be considered. Proposals to prepare one nomination will receive 10 points; proposals to prepare two nominations will receive 15 points, and proposals to prepare three or more nominations will receive 20 points. Sites on the Special Topics List that are not already listed in the National Register may receive extra consideration under this criterion.*

12 pts   11.   Projects that propose to nominate sites that will make an original or unique contribution to the National Register. *Describe how the nomination(s) will constitute a valuable addition to the less than fifty Indiana archaeological sites currently listed in the National Register.*

12 pts   12.   Nomination projects that will involve an endangered resource type and/or a resource type that has not previously been nominated to the National Register. *Describe the resource(s) to be nominated, as well as any imminent threats to the resource(s).*

20 pts   13.   Projects whose primary purpose is to promote public awareness and education regarding archaeology in Indiana through the creation or implementation of specific public education components. *These may include: public education materials such as pamphlets and brochures, videos and slide shows to be deposited at public institutions for public viewing and use, modules and materials for use by educators, a scheduled series of public presentations, projects specifically geared toward work with avocational groups and volunteers, and conferences and workshops. (Note that the development of permanent exhibits is not allowed under federal*

program guidelines.) Describe the educational component in detail, explain how it will promote public awareness and knowledge of archaeology in Indiana, identify the target audience(s), and estimate the number of individuals expected to participate.

10 pts   14. Education projects that will have local community involvement or support. *Describe how the project will involve local community interest groups. These may include, but are not limited to, local county historical societies, Native American organizations, avocational archaeology groups, convention or visitor bureaus, civic associations, and teacher organizations.*

10 pts   15. Education projects whose products will be able to be used or reused in future years, as opposed to one-time use. *Describe how the products created under this project will be able to be utilized after the project is completed, provide an estimate of the useful life of these products, and describe any anticipated periodic maintenance, revision, reprinting, etc.*

6 pts   16. Projects that include public education components that will coincide with Indiana Archaeology Month (September). *Such components will receive up to 6 points. If funded, the public education components must be registered with the DHPA's Archaeology Outreach Coordinator. Public education components that will not coincide with Indiana Archaeology Month will not receive these points.*

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90 Points Possible for Subcategory II

ARCHAEOLOGICAL GOALS AND OBJECTIVES

The items listed below reflect Indiana's topical/geographical and historic context needs as identified by the Division of Historic Preservation and Archaeology.

All Archaeology Subcategory I projects should seek to broaden the state's historic and prehistoric archaeological database and answer questions critical to understanding of past human behavior and life ways. Consequently, the HPF Archaeology Category is keyed directly to prioritized topical / geographical target areas and the development of specific historic contexts that are critically important to address with this round of funding. Archaeology Subcategory II projects will be evaluated based on the number and quality of the proposed National Register nominations that will be produced or the quality or scope of the proposed educational project.

The Topical / Geographical Target Areas, noted below in Part I, indicate those areas within the state for which we (a) have less in the way of either an historic or prehistoric database, and (b) are subject to some form of land-use impact (natural and/or mineral resource extraction, metropolitan and/or industrial development, natural impacts, and detrimental agricultural impacts) that may affect the known cultural resource database and/or remove those resources that are yet to be discovered.

The prioritized Historic Contexts, noted below in Part II, reflect deficiencies in the state's database that may affect the state's performance in preservation planning, development of the state archaeological inventory, archaeological property evaluations, and the review of state and federal projects. Projects that seek to develop formal historic contexts (study units) will help guide the state plan in setting future priorities for archaeological survey and evaluations. Therefore, such projects are important to the continued development of Indiana's historic preservation and archaeology program.

PART I: Topical / Geographical Target Areas

All of the geographic areas noted below require reconnaissance level surveys to locate, identify, and evaluate sites related to the entire prehistoric cultural sequence and that of the subsequent Euro-American occupations.

Priority Areas:

   a. Areas along major water courses that have not been previously surveyed, have a high probability for site locations, and are threatened by development, mining or other mineral extraction, flooding, and erosion.

   b. Unsurveyed areas with a high probability for locating archaeological sites in the following counties: Floyd, Scott, Jasper, Benton, Fulton, Pulaski, Newton, Blackford, Starke, Montgomery, Fountain, and Ripley.

   c. Areas along major transportation corridors, such as Interstate Highways, with the potential for significant development.

   d. Unsurveyed areas in the following rapidly developing counties: Clark, Dearborn, Elkhart, Hamilton, Hancock, Hendricks, Johnson, Marion, Monroe, Porter, Vanderburgh, and Vigo.

   e. Special Topics Section: mound surveys in counties not already inventoried, sand ridges in Northern Indiana, glacial lakes in Northern Indiana, and uninvestigated rockshelter resources. High priority consideration will also be accorded for the evaluation of specific threatened sites targeted by the DHPA (refer to the attached list of sites entitled "Special Topic Sites").

PART II: Historic Contexts

1. Higher Priority Topics:

a. Vincennes Culture, Western Basin Tradition in northeastern Indiana, Huber-Fisher-Langford Tradition in northwestern Indiana, Fort Ancient in southeastern Indiana (particularly early Fort Ancient).

b. Allison-LaMotte culture, Newtown, Intrusive Mound, Walkerton, Early Woodland (non-Adena).

c. Pioneer period and early settlement in Indiana, historic farmsteads and homesteads, early Euro-American settlements and towns, transportation related sites, industrial and urban sites, schools, military-related resources.

2. Middle Priority Topics:

a. Goodall, Adena-Hopewell habitation

b. Mann, Crab Orchard

c. Bluegrass-French Lick

d. Early Archaic, Middle Archaic

e. Historic Indians

3. Lower Priority Topics:

a. Middle Mississippian

b. Late Archaic, Terminal Archaic

c. Marine cultural resources

d. Oliver

e. Albee

f. Paleoindian

g. All other cultural traditions

SPECIAL TOPICS SITES

for Subcategory I projects:

Please note: Survey activity at a Special Topics Site is only eligible for the 50/50 grant reimbursement funding ratio. Also, if the Special Topics Site is not currently listed in the National Register, the project MUST include preparation of a nomination for the site.

Swan's Landing Site (12Hr304), Harrison County
Camp, lithic manufacturing site
*National Register listed site

Breeden Site (12Hr11), Harrison County
Shell midden
*National Register nomination pending

12Hr12 Site, Harrison County
Shell midden

Kramer Site (12-Al-15), Allen County
Village, circular enclosure

Mann Site (12Po2), Posey County
Village, earthworks complex
*National Register listed site

Bertsch Site (12Wy45/46), Wayne County
Mound, earthwork

Graves Enclosure Site (12Wy39), Wayne County
Mound, earthwork

Little Pigeon Creek Site (12W340), Warrick County
Village

All Seasons Site (12Mi225), Miami County
Habitation Site

Cedar Bluff Rockshelter Site (12Mn72), Martin County
Rockshelter

Reid Site (12Fl1), Floyd County
Shell mound/midden

Cummings Mound Site (12D514), Dearborn County
Mound

Site 12D486, Dearborn County
Habitation site

Yankeetown Site (12W1), Warrick County
Village
*National Register listed site

Site 12Sp7, Spencer County
Multi-component habitation site

HISTORIC PRESERVATION FUND
PROJECT BUDGET

Please indicate the proposed budget for the project. The figures on this page, when totaled, should equal the Total Project Cost given on the Proposal Cover Sheet. Please refer to the instructions for category-specific guidelines.

COST CATEGORY		PROJECT COSTS (**Both** Match and Grant)
1. Personnel -- Paid: This Category refers only to persons on the direct payroll of the sponsoring organization	**Administrative**	
	Professional	
	Clerical	
2. Fringe Benefits: Fringe Benefits for paid personnel are allowable.		
3. Volunteer Personnel -- Unpaid: Volunteer time is valued at minimum wage plus one dollar ($6.15 per hour).		
4. Travel: (@ $0.40 per mile)		
5. Supplies and/or Materials:		
6. Contractual:		
7. Printing/Publication:		
8. Other: (Describe)		
9. Other: (Describe)		

10. TOTAL PROJECT COST $

11. Funding Level   (50% or 70%)   X _____ %

12. GRANT AMOUNT REQUESTED $

The figure representing the Grant Amount Requested should be **rounded down to the nearest whole dollar**, and should be the same as that recorded the Proposal Cover Sheet. Applicants are required to submit a detailed breakdown of costs, or "Budget Justification Page," on a separate sheet following this form.

MATCHING SHARE

CASH

        Donor: _____

        Source: _____

        Total Cash Amount: $_____

IN-KIND SERVICES

        Donor: _____

        Source: _____

        Total In-Kind Services Amount: $_____

VOLUNTEER SERVICES

        Donor: _____

        Source: _____

        Total Volunteer Services Amount: $_____

TOTAL MATCHING SHARE: $_____

Note: This amount should equal or exceed that given for the Non-Federal Match Share on the Proposal Cover Sheet.

CERTIFICATION OF MATCHING SHARE

I certify that the matching share funds/goods/services identified above are available, and that they will be allocated only to the grant-assisted project described in this application and titled:

_____

Project Title

_____

Name and Title of Authorized Representative

_____   _____

Signature   Date

Applicants are asked to submit appropriate documentation of the matching share (copies of bank statements, etc.) following this form. Please note that proposals submitted without documentation WILL NOT receive full credit for the matching share under the grant evaluation criteria.

STATEMENT OF UNDERSTANDING
FOR HISTORIC PRESERVATION FUND SUBGRANTS

With respect to any grant received from the Department of Natural Resources, Division of Historic Preservation and Archaeology (DNR-DHPA), the applicant indicates by his/her signature that he/she has read, understands, and agrees that:

1. This is a request for consideration for a grant, and not a promise for funding, from the National Park Service HPF program administered by the Department of Natural Resources (DNR).

2. The individual submitting this grant request on behalf of the applicant has the necessary authority to request consideration of this project by the Department of Natural Resources.

3. This is a matching grants program in which only a portion of the total project cost can be supplied by the grant funds; the matching share will be supplied by the grant applicant in the form of cash, donated or volunteer labor, and/or donated supplies in accordance with state and federal regulations.

4. No work covered in this application is to begin until the applicant has been notified in writing that funds have been awarded, and has accepted in writing the terms and conditions of the grant.

5. If a grant is received, all obligations for material or work are to be paid by the applicant, who will then receive reimbursement from the National Park Service through the Indiana Department of Natural Resources, based on prior agreement and approval. The applicant will be required to supply all necessary financial documentation which must include copies of accurate personnel time sheets indicating the effort expended on the project, canceled checks, invoices, and other data as required by the DHPA, unless special arrangements are made.

6. Grants will be administered in conformance with all applicable federal and state laws, regulations, policies, requirements and guidelines, including OMB Circular A-102 and A-110 (as applicable), policies and procedures of the Historic Preservation Grant-in-Aid Program, Title VI of the 1964 Civil Rights Act, non-discrimination on the basis of handicap (Sec. 504 of the Rehabilitation Act of 1973), and equal employment opportunity and labor law requirements of federal grants.

7. Procurement actions will be conducted in a manner that provides for maximum open and free competition in compliance with program requirements, including OMB Circular A-102 and A-110 (as applicable).

8. All costs charged to the grant project will be in payment of an approved budget item during the project period and will conform to the cost principles of (Federal Management Circular 74-4), now OMB Circular A-87 and A-21 (as applicable).

9. In accordance with Title VI of the 1964 Civil Rights Act (P.L. 88-325), the Department of Natural Resources requires that grant applicants not discriminate against any employee or applicant for employment on a historic preservation project because of race, color, sex, national origin, or ancestry. All employees must be advised of equal opportunity and benefits. Any complaint of discrimination must be reported to the State Historic Preservation Officer.

10. Adequate financial resources will be available for performance (including necessary experience, organization, technical qualifications, and facilities) to complete the proposed project or a firm commitment, arrangement or ability to obtain such will be made.

11. An adequate financial management system (and audit procedure when deemed applicable) will be maintained which provides efficient and effective accountability and control of all property, funds and assets.

12. The matching share will not consist of funds from the federal government under another assistance agreement unless authorized.

13. The project, if funded, will be carried out in accordance with the guidelines set forth by the Division of Historic Preservation and Archaeology, Department of Natural Resources, and will be completed within the allotted time.

14. The applicant shall participate in the grant project and shall submit copies of archaeological/architectural data and survey, study, and planning materials to the Department of Natural Resources with the condition that specific site data including site addresses be withheld from public access in accordance with federal law and the regulation and access policy adopted by the Natural Resources Commissions. This condition is necessary to protect property owners from unwanted destruction, risk, or disruption of their property and to protect valuable scientific data, cultural materials, and artifacts that might otherwise be lost or harmed.

15. The applicant will cooperate with the staff of the Department of Natural Resources in meeting all the above requirements, as well as other federal requirements that may apply.

16. Additional administrative requirements and project-specific conditions may be made a part of any grant offer made by the Division of Historic Preservation and Archaeology as a result of this application.

17. Any breaking of the conditions set forth in this Statement of Understanding may mean cancellation of the grant.

The applicant recognizes and agrees that any federal financial assistance will be extended in reliance on the representations and agreements made in this assurance, and that the United States shall reserve the right to seek judicial enforcement of this assurance. This assurance is binding on the Applicant, its successors, transferees, and assignees, and on the person or persons whose signature(s) appears below and who is/are authorized to sign this assurance on behalf of the Applicant.

_____   _____
Name of Applicant/Project Sponsor   Date

_____   _____
Name and Title of Authorized Representative   Signature

PART V -- ASSURANCES

The Applicant hereby assures and certifies that he/she will comply with the regulations, policies, guidelines, and requirements including OMB Circulars Nos. A-87, A-95, and A-102, as they relate to the application acceptance and use of federal funds for this federally assisted project. Also the Applicant assures and certifies with respect to the grant that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.

2. It will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and in accordance with Title VI of the Act, no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives federal financial assistance and will immediately take any measures necessary to effectuate this agreement.

3. It will comply with Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d) prohibiting employment discrimination where (1) the primary purpose of a grant is to provide employment or (2) discriminatory employment practices will result in unequal treatment of persons who are or should be benefiting from the grant-aided activity.

4. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of federal and federally assisted programs.

5. It will comply with the provisions of the Hatch Act, which limits the political activity of employees.

6. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act, as they apply to hospital and educational institution employees of state and local governments.

7. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.

8. It will give the grantor agency or the Comptroller General through any authorized representative the access to and the right to examine all records, books, papers, or documents related to the grant.

9. It will comply with all requirements imposed by the Federal grantor agency concerning special requirements for law, program requirements and other administrative requirements approved in accordance with Office of Management and Budget Circular No. A-102.

10. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.

11. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition

purposes for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect federal assistance.

12. It will assist the federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 U.S.C. 470), Executive Order 11593, and the Archaeological and Historic Preservation Act of 1966 (16 U.S.C. 469a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.

_____   _____
Name of Applicant/Project Sponsor   Date

_____   _____
Name and Title of Authorized Representative   Signature

U.S. DEPARTMENT OF THE INTERIOR

CERTIFICATION REGARDING
DEBARMENT, SUSPENSION, INELIGIBILITY AND
VOLUNTARY EXCLUSION

Lower Tier Covered Transactions

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 43 CFR Part 12, Section 12.510, Participants' responsibilities. The regulations were published as Part VII of the May 26, 1988 Federal Register (pages 19160-19211). Copies of the regulations are included in the proposal package. For further assistance in obtaining a copy of the regulations, contact the U.S. Department of the Interior, Acquisition and Assistance Division, Office of Acquisition and Property Management, 18th and C Streets, N.W., Washington, D.C. 20240.

(Before completing this CERTIFICATION, read the instructions below.)

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

_____   _____
Name of Applicant/Project Sponsor   Date

_____   _____
Name and Title of Authorized Representative   Signature

INSTRUCTIONS FOR CERTIFICATION

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the federal government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing

Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5.   The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6.   The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7.   A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

8.   Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9.   Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

U.S. DEPARTMENT OF THE INTERIOR
ASSURANCE OF COMPLIANCE
(TITLE VI, CIVIL RIGHTS ACT OF 1964)

_____, hereinafter called "Applicant-Recipient,"
(Name of Applicant-Recipient)

HEREBY AGREES THAT IT will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and all requirements imposed by or pursuant to the Department of the Interior Regulation (43 CFR 17) issued pursuant to that title, to the end that, in accordance with Title VI of that Act and the Regulation, no person in the United States shall, on the ground of race, color, or national origin be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Applicant-Recipient receives financial assistance from the **Department of Natural Resources**, and

HEREBY GIVES ASSURANCE THAT IT will immediately take any measures to effectuate this agreement if any real property or structure thereon is provided or improved with the aid of Federal financial assistance extended to the Applicant-Recipient by the **Department of Natural Resources**.

This assurance obligates the Applicant-Recipient, or in the case of any transfer of such property, any transferee for the period during which the real property or structure is used for a purpose involving the provision of similar services or benefits. If any personal property is so provided, this assurance obligates the Applicant-Recipient for the period during which it retains-ownership or possession of the property. In all other cases, this assurance obligates the Applicant-Recipient for the period during which the Federal financial assistance is extended to it by the **Department of Natural Resources**.

THIS ASSURANCE IS GIVEN in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property discounts or other Federal financial assistance extended after the date hereof to the Applicant-Recipient by the bureau or office, including installment payments after such date on account of arrangements for Federal financial assistance which were approved before such date. The Applicant-Recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this assurance, and that the United States shall reserve the right to seek judicial enforcement of this assurance. This assurance is binding on the Applicant-Recipient, its successors, transferees, and assignees, and the person or persons whose signature appear below are authorized to sign this assurance on behalf of the Applicant-Recipient.

_____   _____
Name of Applicant/Project Sponsor   Date

_____   _____
Name and Title of Authorized Representative   Signature

36 CFR PART 61
Section 61.5 -- Professional Qualifications

In the following definitions, a year of full-time professional experience need not consist of a continuous year of full-time work, but may be made up of discontinuous periods of full-time or part-time work adding up to the equivalent of a year of full-time experience.

A. History

The minimum professional qualifications in history are a graduate degree in history or a closely related field; **or** a bachelor's degree in history or a closely related field **plus** one of the following:

1. At least two years of full-time experience in research, writing, teaching, interpretation, or other demonstrable professional activity with an academic institution, historical organization or agency, museum, or other professional institution; **or**

2. Substantial contribution to the body of scholarly knowledge in the field of history through research and publication.

B. Archaeology

The minimum professional qualifications in archaeology are a graduate degree in archaeology, anthropology, or a closely related field, **plus**:

1. At least one year of full-time professional experience or equivalent specialized training in archaeological research, administration, or management; **and**

2. At least four months of supervised field and analytic experience in general North American archaeology; **and**

3. Demonstrated ability to carry research to completion.

In addition to these minimum qualifications, a professional in **prehistoric archaeology** shall have at least one year of full-time professional experience at a supervisory level in the study of archaeological resources of the prehistoric period. A professional in **historic archaeology** shall have at least one year of full-time professional experience at a supervisory level in the study of archaeological resources of the historic period.

The State of Indiana also requires the following Professional Qualifications:

The following information is requested to document professional qualifications meeting or exceeding the requirements of the State of Indiana, as stated in Indiana Code (IC) 14-21-1 and 312 IAC 21.

312 IAC 21-3-4 Personnel qualifications
Authority: IC 14-21-1-31; IC 14-34-4-10
Affected: IC 4-21.5-3-8; IC 14

Sec. 4. (a) An individual who wishes to conduct an investigation under this article must submit a curriculum vitae to the division to satisfy the qualification standards of this section.
(b) A principal investigator must have the following:
(1) A graduate degree in anthropology or a closely related field with a specialization in archaeology at the graduate level.

(2) Three (3) years of experience in anthropology or a related field, consisting of at least two (2) years as a supervisor in archaeological survey and excavation and one (1) year of laboratory cataloging and analysis and the preparation of a research-oriented monograph, thesis, or dissertation.

(3) Graduate course work, training, and experience in archaeology, including theory, methods, techniques, cultural areas, and field and laboratory techniques, under the direction of a qualified professional archaeologist.

(4) In addition to the requirements contained in subdivisions (1) through (3), the following requirements apply to a project in the areas specified:

> (A) For a prehistory project, two (2) years of supervisory experience and research in Midwestern archaeology.
>
> (B) For a history project, two (2) years of supervisory experience in Midwestern historic archaeology and archival research.
>
> (C) For a marine project, two (2) years of supervisory experience in underwater archaeological techniques and research. Diving certification is also required from a recognized certifying organization (examples: NAUI, PADI, Red Cross, YMCA, and United States Navy).

(c) A field or laboratory supervisor, who is eligible to submit draft and final reports for field projects, must have the following:

(1) A master's degree in anthropology or a related field and one (1) year of supervisory experience in survey, excavation, or laboratory techniques.

(2) Instead of the requirements under subdivision (1), experience and training under a person who would qualify as a principal investigator and satisfaction of the qualifying examinations required toward a doctor of philosophy degree.

(3) Graduate course work, training, and experience in archaeology, including theory, methods, techniques, cultural areas, and field and laboratory techniques, under the direction of a qualified professional archaeologist.

(4) In addition to the requirements contained in subdivisions (1) or (2) and (3), the following requirements apply to a project in the specified areas:

> (A) For a prehistory project, one (1) year of experience at the master's degree level in Midwestern prehistoric archaeological research.
>
> (B) For a history project, one (1) year of experience at the master's degree level in Midwestern historic archaeological and archival research.
>
> (C) For a marine project, one (1) year of experience in marine archaeology and underwater archaeological techniques and research. Diving certification is also required from a recognized certification organization (examples: NAUI, PADI, Red Cross, YMCA, and United States Navy).
>
> (D) For a laboratory project, one (1) year of supervisory experience at a master's degree level in collections research, artifact analysis, curation, and artifact cataloging and classification. Depending upon the nature of the project, experience with prehistoric or historic artifacts is required.

(d) A field or laboratory technician is an assistant supervisor or field-crew member with experience in archaeological field techniques and methodologies. A laboratory technician must be experienced in all varieties of laboratory analysis and techniques and must hold a bachelor's degree in anthropology or a closely related field, with a specialization and course work in archaeology, or possess equivalent background, with one (1) year of field survey, excavation, or laboratory techniques experience under the direction of a qualified professional archaeologist. In addition, the following requirements apply to a project in the specified areas:

(1) For a prehistory project, one (1) year of experience in Midwestern prehistoric archaeological fieldwork.

(2) For a history project, one (1) year of experience in historic archaeology fieldwork.

(3) For a marine project, one (1) year of experience in classifying, cataloging, analyzing, data recording, and curation of artifacts.

(e) A fieldworker is a survey or excavation worker who:

(1) has completed one (1) archaeological field school;

(2) has field experience equivalent to one (1) archaeological field school; or

(3) has received or is receiving training in archaeological field, laboratory, or research methods under the direction of a qualified professional archaeologist.

C. Architectural History

The minimum professional qualifications in architectural history are a graduate degree in architectural history, art history, historic preservation, or closely related field, with course work in American architectural history; **or** a bachelor's degree in architectural history with a concentration in American architecture; **or** a bachelor's degree in architectural history, art history, historic preservation, or a closely related field **plus** one of the following:

1. At least two years of full-time experience in research, writing, or teaching in American architectural history or restoration architecture with an academic institution, historical organization or agency, museum, or other professional institution; **or**

2. Substantial contribution to the body of scholarly knowledge in the field of American architectural history through research and publication.

D. Architecture

The minimum professional qualifications in architecture are a professional degree in architecture **plus** at least two years of full-time professional experience in architecture; **or** a State license to practice architecture.

E. Historical Architecture

The minimum professional qualifications in historical architecture are a professional degree in architecture; **or** a State license to practice architecture **plus** one of the following:

1. At least one year of graduate study in architectural preservation, American architectural history, preservation planning, or a closely related field **and** at least one year of full-time professional experience on preservation and restoration projects; **or**

2. At least two years of full-time professional experience on preservation and restoration projects.

Experience on preservation and restoration projects shall include detailed investigations of historic structures, preparation of historic structures research reports, and preparation of plans and specifications for preservation projects.

UNALLOWABLE AND ALLOWABLE COSTS

The following is a list of possible expenditures or costs associated with many projects. The National Park Service has determined which of these items are **allowable** and **unallowable** project costs. Only allowable costs may be included in the project budget and claimed for reimbursement. **Note** that some items **may be allowable** if certain conditions are met. These conditions must generally be spelled out in the project application, and will be included in the Award Letter and Project Notification. Subgrantees may not claim for reimbursement any items or project costs that were not identified in the project proposal, the Award Letter, and the Project Notification, without written permission from the DHPA. If you have any questions about eligible or ineligible expenses, or how to include cost categories in your HPF project budget, please contact the DHPA Grants Staff.

Unallowable Costs

The following costs and categories are not eligible for reimbursement and should not be included in an HPF project budget.

Bad Debts: Any losses arising from uncollectible accounts and other claims, and any collection costs.

Bonus Payments: Bonus payments of any kind.

Churches or Other Religious Entities: Due to federal "separation of church and state" regulations that govern the Historic Preservation Fund Program, direct grant assistance to active religious organizations, or for rehabilitating properties that are primarily used for religious purposes, is unallowable.

Conferences: Costs associated with attendance at conferences and seminars, unless approved in advance by the DHPA. Such costs may be approved by the DHPA only when they provide necessary training for CLG staff or local commission members, or when the activity will provide a subgrantee with new or unique training that is directly related to and useful for the completion of the project.

Contingencies: Contributions to a contingency reserve or any similar provision for unforeseen events.

Curation: The cost of curation of artifacts, except in those cases where archaeological artifacts were discovered in the course of a grant-assisted project and attention is urgently required to prevent the deterioration or loss of the artifacts. In such instances, limited curation costs may be allowable, but only with prior permission from the DHPA. In no case will the DHPA approve such costs in amounts greater than **10%** of the total project budget.

Depreciation: Subgrantees who have what they consider to be unusual situations should contact the DHPA.

Entertainment: The costs of amusement, social activities, refreshments, and related incidental expenses.

Equipment: Single tangible items costing in excess of $300 are considered to be equipment. The purchase of equipment using grant funds or local matching funds may be allowable, **only** with prior written permission from the DHPA.

Fines and Penalties: The costs resulting from failure to comply with federal, state, or local laws.

Fund Raising: The costs associated with organized fund raising and solicitations.

Furnishings: The purchase of movable pieces of furniture is unallowable. For rehabilitation/restoration projects, the cost of furnishings may be allowable only when these furnishings are permanently attached items that are integral to building construction, are of documented historic design, and/or are reconstructed based upon documented original furnishings (e.g., ceiling and wall-mounted lighting fixtures, theater seats in a theater rehabilitation, etc.).

Interest: Interest on borrowings (such as mortgages and other loans), and the legal and professional fees paid in connection therewith, except when authorized by federal legislation.

Lobbying: The costs associated with activities or communications designed to influence in any manner a federal, state, or local legislator or official are unallowable.

Meals: The cost of meals for subgrantee employees, consultants, and volunteers, except when such persons are on approved travel status in conjunction with activities directly related to the grant project, and these people are being paid a "per diem" pre-approved by the DHPA. (See also "Travel").

Memberships: The costs of memberships in professional or technical organizations, except when **all** of the following are true:
- The benefit from the membership is directly related to achieving grant program objectives;
- The expenditure is for agency membership, not individual membership;
- The cost of the membership is reasonably related to the value of the services or benefits received;
- The expenditure is not for membership in an organization that devotes a substantial part of its activities to influencing legislation.

New Construction: The costs of construction activities that are not rehabilitation, preservation, stabilization, or restoration are unallowable. (See also "Landscaping").

Preagreement Costs: Costs incurred prior to the project starting date are unallowable, except with written approval of the DHPA and NPS.

Revolving Funds: The use of DHPA grant funds for revolving fund activities is unallowable.

Training and Education: Subgrantees are expected to possess the knowledge and skills necessary to complete their projects when the grant award is made. Consequently, training and education costs for employee development normally are unallowable. However, such costs may be allowable if the training is of a unique or unusual type not ordinarily available, and if the training is directly related to the grant project and will improve the quality of the final product. In addition, training for staff and commission members of Certified Local Governments may be allowable. In both situations, the subgrantee must have written approval of such costs before they are incurred.

<div align="center">

Allowable Costs:
</div>

The following costs and categories are eligible for reimbursement and may be included in an HPF project budget. All costs must be incurred during the grant period (between project begin and end dates).

Accounting: The cost of establishing and maintaining accounting and other information systems required for the management of grant programs. This includes costs incurred by central service agencies for these purposes. However, the cost of maintaining central accounting records required for overall government purposes, such as appropriation and fund accounts by the Treasurer, Comptroller, or similar officials, is considered to be a general expense of government, and is unallowable.

Advertising: The advertising costs that are solely for:
- Recruitment of personnel necessary for the grant project;
- Solicitation of bids for the procurement of goods and services required for work on the grant project;
- Notices required by federal or state regulations pertaining to the grant; and
- Other purposes specifically provided for in the grant agreement.

Appraisals: For projects involving the acquisition of real property, the cost of necessary appraisals is allowable.

Audit Service: The cost of audits necessary for the administration and management of functions related to grant programs.

Communications: Communication costs incurred for telephone calls, postage, and similar expenses necessary for and directly related to the grant project. However, these costs must be adequately documented with copies of bills, receipts, or other documents that illustrate clearly the connection between the grant project and the charges incurred. If reimbursement for such charges is anticipated, contact the DHPA for specific instructions; **note** that many subgrantees find that it is not cost-effective to seek reimbursement for any but long-distance telephone expenses.

Compensation for Personal Services: Compensation for personal services includes all remuneration, paid currently or accrued, for services rendered during the period of performance under the grant agreement, including but not necessarily limited to wages, salaries, and supplementary compensation and benefits. The costs of such compensation are allowable to the extent that they are adequately documented and reasonable for the services rendered. For private nonprofit organizations and local governments, documentation will include time and attendance records for each employee's work on the grant. Educational institutions must document the efforts of employees who are paid on an hourly basis in the same manner, but can use an OMB-approved time-distribution system to document effort of faculty members. In addition, all subgrantees must provide copies of payroll checks unless they are audited annually by the State Board of Accounts, and have worked out an alternative system of documentation with the DHPA under appropriate OMB standards. (See also "Employee Fringe Benefits").

Employee Fringe Benefits: Costs identified under the two items below are allowable to the extent that the total compensation for subgrantee employees is reasonable as defined in "Compensation for Personal Services" (above):
- Benefits in the form of regular compensation paid to employees during periods of authorized absences from the job, such as for annual, sick, court, or military leave, if:
  a. They are provided pursuant to an approved leave system; and
  b. The cost thereof is equitably allocated to all related activities, including grant programs.
- Benefits in the form of employers' contributions or expenses for social security, employees' life and health insurance plans, unemployment insurance coverage, worker's compensation insurance, pension plans, and severance pay, provided that such benefits are granted under approved plans and are distributed equitably to grant programs and to other activities.

Exhibits: The costs of temporary exhibits relating specifically to the grant project, its accomplishments, or results **may be** allowable, but written permission from the DHPA must be received before such costs are incurred. Permission of the National Park Service may be required. (Note that permanent exhibits normally cannot be funded).

General Conditions for Construction Contracts: This term, used in construction cost estimates, bids, and construction cost documents, refers to the general contractor's provisions and miscellaneous requirements for other contractors and subcontractors, which eliminate the duplication and expense of each trade providing its own temporary facilities. General conditions including, but not limited to, temporary heat, power, lighting, water, sanitary facilities, scaffolding, elevators, walkways and railings, construction office space and storage, as well as daily cleanup, security, and required insurance, permits, and surety bonds, are allowable when identified as a line item in the project application. (See also "Contingencies," which are unallowable).

Insurance: The costs of hazard and liability insurance to cover personnel or property directly related to the grant project and during the grant period.

Interpretive Signs: The costs of purchasing and installing (but not maintaining) a minimum number of interpretive or informational markers or signs at grant-assisted historic buildings and structures and archaeological sites **may be** allowable, but only with written permission from the DHPA. (See also "Project Signs")

Landscaping: For development projects, the costs of landscaping are allowable **only** if they fall under one of the following categories:
- The historically documented restoration or reconstruction of gardens, grounds, and grading in order to attain an historic appearance and a compatible setting for an historic property;
- Grading for purposes of drainage, building safety, and protection; or
- Improvements necessary to facilitate access for the disabled.

(Note that the costs of seeding, sodding, and installing decorative plantings are unallowable).

Legal Expenses: The cost of legal expenses required in the administration of a subgrant.

Materials and Supplies: The cost of materials and supplies necessary to carry out the subgrant project. Purchases made specifically for the grant project should be charged at their actual prices after deducting all case discounts, trade discounts, rebates, and allowances received by the subgrantee. Withdrawals from general stores or stockrooms should be charged at cost under any recognized method of pricing consistently applied. Incoming transportation charges are a proper part of material cost. Materials and supplies charged as a direct cost must include only the materials and supplies actually used for the performance of the contract or grant, and due credit should be given for any excess materials or supplies retained or returned to vendors.

Payroll Preparation: The cost of preparing payrolls and maintaining necessary wage records, as long as appropriate cost documentation is supplied.

Personnel Administration: The costs of recruitment, examination, certification, classification, training, establishment of pay standards, and related activities for the Historic Preservation Fund grant program.

Plans and Specifications: For development projects, the costs of producing architectural plans and specifications, shop drawings, and/or other materials required to document development project work according to the *Secretary of the Interior's Standards* are allowable. However, these should be identified as a discrete line item in the project budget and must be executed during the grant period.

Procurement Services: The costs of all procurement services, including the solicitation of bids, the preparation and award of contracts, and all phases of contract administration in providing goods, facilities and services for the subgrant are allowable.

Project Signs: The cost of making project signs that acknowledge state and federal grant assistance, and the cost of installing these signs at project sites, are allowable. (Note, however, that a project sign is normally provided to the subgrantee by the DHPA during the initial inspection and start-up meeting).

Rent: Rental costs for space used to complete the project are allowable during the grant period **only** with prior approval from the DHPA and NPS. When only a portion of the rented space is used for grant activities, the allowable costs must be computed on a pro rata basis.

Transportation: Costs incurred for freight, cartage, express postage, and other transportation costs relating to goods either purchased, delivered, or moved from one location to another, when necessary for and directly related to the grant.

Travel: In-state travel costs are allowable when the travel involved is directly related to the accomplishments of the project, when the subgrantee's budget includes a line-item for this cost category, and when the costs involved are incurred and documented according to standards and practices acceptable to the State Board of Accounts. Subgrantees that are already audited by the State Board of Accounts on a regular basis (local governments and state universities) may use their established in-state travel regulations, except that mileage charges cannot exceed the Indiana State Auditor's rate of $.34/mile. Subgrantees not currently being audited by the State Board of Accounts may either adopt those regulations used by the DHPA, submit a set of proposed travel regulations for DHPA approval, or bill for mileage charges only at the rate of $.34/mile. Out-of-state travel costs of any kind are unallowable unless prior written approval is received from the DHPA. (See also "Conferences").

PROCEDURES FOR THE GRANT SELECTION PROCESS

I. State Review Board determines funding criteria.
   A. DHPA Staff provides recommendations to the Board, indicating:
       1. Suggested priority statements and corresponding point values for Administrative qualifications, and Architectural and Historical, Archaeological, and Acquisition and Development projects.
       2. Minimum and maximum level of funding for grants within the three categories.
       3. Minimum point score required to qualify for grant funding.
       4. Amount of funding targeted for Certified Local Government applicants.
       5. Amount of funding targeted for each of the three project categories.
   B. Board reviews Staff's recommendations, makes any appropriate revisions, and adopts the funding criteria.

II. DHPA Staff solicits and accepts grant applications.
   A. Staff prepares a grant application packet based on the criteria adopted by the Board.
   B. Staff advertises the availability of grant funds at least 60 days prior to the application closing date and supplies application packets to interested parties.
   C. Staff receives and logs completed grant applications.

III. Applications are evaluated, scored, and ranked.
   A. Grants management staff reviews each application to determine the category and program area(s) involved.
   B. Grant management staff establishes committees to review each application.
       1. Each committee will include at least two grants management staff members.
       2. Each committee will include at least three program area staff members, two of whom must meet 36 CFR 61 requirements in disciplines relevant to the work proposed in the application.
   C. Committee members score each application independently, and then meet to discuss each project and the corresponding scores.
   D. Committee chairman records the five scores for each project.
   E. Committee chairman discards the highest and lowest scores, computes the average of the other three, and reports that figure as the committee point score for each criteria. The average scores for each criteria in both sets of priorities are totaled to arrive at the total scores for each project.

IV. DHPA staff prepares and presents staff comments to the State Review Board.
   A. Grants management staff organizes the grant applications by category (Architectural and Historical, Archaeological, and Acquisition and Development).
   B. Within each category, applications are arranged by point score, from highest to lowest.
   C. Grants management staff prepares written comments for the Review Board for each category of application. Comments include the name of the applicant, budget information, a brief description of the proposed project, the staff's opinions as expressed in the committee meetings, the committee point score, and a sheet detailing, priority by priority, how the committee score was computed.
   D. The staff comments are provided to the board members for their study at least ten days before the next Review Board meeting.

V. The State Review Board determines funding allocations.
   A. Grant management staff presents the staff's grant comments at the next meeting of the Review Board.
   B. The Board determines which of its members, if any, has a conflict of interest (or the appearance of conflict of interest) in any grant applications and arranges to have such members abstain from voting on such applications.
   C. The Board discusses the applications and staff comments and invites public comment from those in attendance.
   D. The Board reviews the point scores awarded by the committee.

E. The Review Board determines funding allocations.
    1. The Board allocates funding to applicants who are Certified Local Governments based on point score until the minimum amount targeted for CLGs is reached.
    2. The Board allocates funding for Architectural and Historical projects to all eligible applicants based on point score until the amount targeted for this category is exhausted.
    3. The Board allocates funding for Archaeological projects to all eligible applicants until the amount targeted for this category is exhausted.
    4. The Board allocates funding for Acquisition and Development projects based on point score to all eligible applicants until the amount targeted for this category is exhausted.
F. The Board determines how to dispose of any excess funds.
    1. The Board may elect to shift funds targeted for one category to a different category in order to allocate excess funds, or
    2. The Board may direct the staff to conduct a second grant round in order to allocate the excess funds.

Landowner Permission Form

I, _____, grant permission for archaeologists

from _____ to conduct scientific investigations for

archaeological sites on my property at _____ in

_____ County, Indiana.

Land Owner _____ (Signature)

Address   _____

               _____

               _____

Telephone   _____

Date   _____

Archaeologist _____ (Signature) Date _____

University or Company Affiliation _____

Address _____

        _____

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FREE ADVICE
FOR COMPLETING HPF GRANT PROPOSALS

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The following advice for HPF applicants has been prepared by the DHPA Grants Staff. These points cover the areas or parts of the HPF grant proposal format that are most often found to be weak, incomplete, or inadequate. By following the advice spelled out below, it is likely that your proposal will be better prepared and will score more points as a result. Remember, the HPF matching grants program is very competitive; in 2005 nearly $1,300,000 was requested where there was only $511,000 available for distribution in the form of subgrants!

SOME BASIC "DOs AND DON'Ts" IN PREPARING THE PROPOSAL:

Do   Consult the Grants Staff ANY TIME you have questions about preparing the proposal, particularly when there are questions involving the priorities, the project budget, or the matching funds.

Do   Assemble the five copies of the proposal carefully following the order given in the Grant Application Checklist. Many times, proposals are assembled incorrectly or out of order, requiring the Grants Staff to take them apart and reassemble them. It is much easier for the DHPA Staff to review proposals when they are all assembled in the same manner; this makes it easy to compare one proposal to another or to find quickly a specific part or page in any individual proposal.

Do   Give your proposal to someone else to read/proofread before submitting it. It is often advisable to have someone NOT connected with the project read over the proposal. If they are left with questions about the project, then the project description or the responses to the priorities may be too brief or too vague. You may then revise the parts of the proposal as necessary.

Do   Submit your proposal early, if possible. This allows the Grants Staff to check your proposal and make sure that everything is in order. If parts are missing or incomplete, the Grants Staff will notify you immediately. If your proposal is submitted early, you will have extra time to make the necessary changes or additions; otherwise, you will have only seven days after the grant deadline to put everything in order.

Do   Ask for letters of support from local people and organizations who support your project. It is best if these letters can be submitted directly with the proposal; however, they may be submitted separately. Please be sure that letters being submitted separate from the proposal are mailed in time to reach the DHPA by the application deadline. Letters received after the first evaluation session WILL NOT be considered.

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Don't Wait until the last minute to begin preparing your proposal. Supporting documentation is extremely important and may take several weeks to collect or put together, especially budget information, matching share documentation, written estimates for proposed work, and letters of support. Proposals prepared at the last minute often lack the necessary details and documentation, and generally do not score very well because of it. Remember, this is an extremely competitive program -- take the time necessary to put together a quality proposal!

Don't Submit your proposal in a three-ring binder or a plastic folder cover, spiral bound with a wire or plastic comb, with section dividers between parts, or with the pages inserted in plastic sleeves. If the Grants Staff needs to reorganize the proposal, these covers, bindings, or dividers often make it difficult, if not impossible, to take apart and reassemble the proposal. Divider pages between sections actually make it MORE difficult for the DHPA Staff to quickly find a certain page, while three-ring binders take up too much filing space, and pages inserted in plastic sleeves prevent the Staff from making notes directly on the proposal. The Grants Staff prefers that all proposals look the same, as they are much easier to handle and review. The score given to each project application is directly derived from the CONTENT, not the appearance, of the grant proposal.

FIVE EASY WAYS TO MAKE YOUR PROPOSAL SCORE MORE POINTS:

By carefully following the advice given above, a grant applicant should be able to avoid the most common pitfalls of preparing a grant proposal. A quality grant proposal is the sum of many quality parts. One or two weak parts of the proposal may mean the difference of several points, which in turn may mean the difference between the proposal being funded and not being funded. **If you have questions, don't be afraid to ask for advice or guidance!**

1. **Include a thorough and detailed project description.** This project description should cover every item or task to be completed under the grant-assisted project. If the proposed grant project is a part, component, or phase of a much larger or comprehensive project, briefly describe the overall project and how the proposed grant project fits into the big picture. Then describe the proposed grant project in detail. List and describe every product that will result from the grant project, and discuss any potential spin-off benefits of the project. A thorough and detailed project description generally should not exceed three type-written pages.

2. **Include a detailed timetable for the proposed grant project.** This timetable should allow time for the project initiation by DHPA Staff, procurement of goods and services (bidding), and should address every task, aspect, or component of the project. Break down the timetable by the number of days, weeks, or months necessary to complete each task or phase of the project. The timetable should set forth a clear, realistic, and reasonable schedule for the completion of the grant project. Simply providing begin and end dates for the project does not constitute an acceptable timetable. Proposals with vague, poorly detailed, or unrealistic timetables often score fewer than half of the points possible for this evaluation criteria.

3. **Include a detailed and documented project budget.** The budget should be broken down in detail on a separate page after the budget form. This breakdown should follow the budget categories or line-items on the budget form, and should show how the total amount for each line-item was calculated. Be certain to include all project costs in the appropriate budget line-items. If grant funding is offered, reimbursements will only be made for those items included in the original project budget. Whenever possible, include written estimates from consultants or contractors for the goods and services to be used in the proposed project -- this is especially critical for Acquisition and Development proposals. This kind of documentation proves that the budget is reasonable and accurate. While submitting a budget breakdown page and other project cost documentation is not strictly required, including these items greatly improves the quality of the project budget and guarantees a higher score for the budget criteria.

4. **Include documentation to support the applicant's matching share.** Obtaining copies of bank statements, written pledges or commitments, or other financial documentation may take several days or even weeks, so be sure to allow enough time to accomplish this task prior to the project deadline. While submitting supporting documentation for the matching share is not required, submitting this documentation proves that the required funds are on-hand and available and that the project may begin immediately. Because HPF grants are "reimbursement grants" where the subgrantee is reimbursed for project costs (grant money is NOT distributed up-front), without the required matching share in place to leverage the grant funds, the project cannot move forward.

5. **Include detailed and accurate responses to the priorities.** There are two sets of priorities: Administrative and Categorical. The applicant's responses to these priorities are what the DHPA Staff uses to evaluate and score the proposal, so you should pay particular attention to this part of the proposal. In general, more clear and detailed responses will score better than vague or unclear responses. Please provide clear, thorough, and detailed responses whenever required by the wording of the priority statements. However, take note that many priorities require only simple and concise answers. Whenever a proposed project will not meet a specific priority, mark "NA" as the response and move on to the next item. No project will meet every single priority statement; however, providing adequate detail where necessary will give the DHPA Staff the best possible understanding of your particular project, which should result in the best possible score for your proposal.